



0300

PATENTS
CF/012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

Applicants : Stuart Harris et al.
Application No.: 09/755,591 Confirmation No.: 3838
Filed : January 5, 2001
For : SYSTEMS AND METHODS FOR MONITORING
CREDIT OF TRADING COUNTERPARTIES
Group Art Unit : 2164
Examiner : Not yet assigned

Commissioner for Patents New York, New York 10020
Washington, D.C. 20231 March 9, 2001

Attention: BOX PGPUB DRAWINGS

PETITION UNDER 37 C.F.R. § 1.182
FOR ENTRY OF THE DRAWINGS

Sir:

Pursuant to 37 C.F.R. § 1.182, applicants hereby petition for entry of the enclosed drawings (21 sheets, Figs. 1-21) in the publication of this patent application. A check in the amount of \$130.00, in payment of the fee set forth in 37 C.F.R. § 1.17(h), is enclosed herewith.

The Commissioner is hereby authorized to charge any additional extension fee due, or credit any overpayment, in connection with this Petition, to Deposit

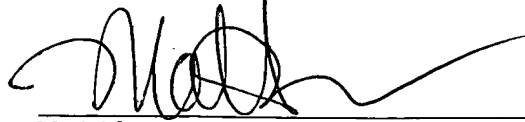
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listed item(s) a check for 130.00

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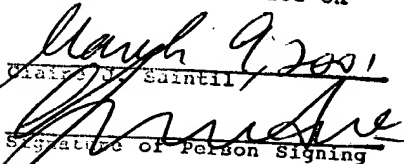
Account No. 06-1075. A duplicate copy of this Petition
is enclosed herewith.

Respectfully submitted,



Matthew T. Byrne
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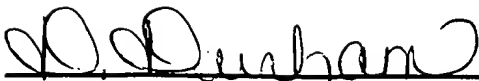
Fish and Neave
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1251 Avenue of the Americas
New York NY 10020-1105

Dear Applicant:

The Box PGPub replacement drawings for application number 09/755,591 received on 3/16/01 by the U. S. Patent and Trademark Office will be included for patent publication.

Telephone inquiries should be directed to Customer Service, Office of Initial Patent Examination, at 703-308-1202.

09755591.031601



Signature of Reviewer, Office of Initial Patent Examination

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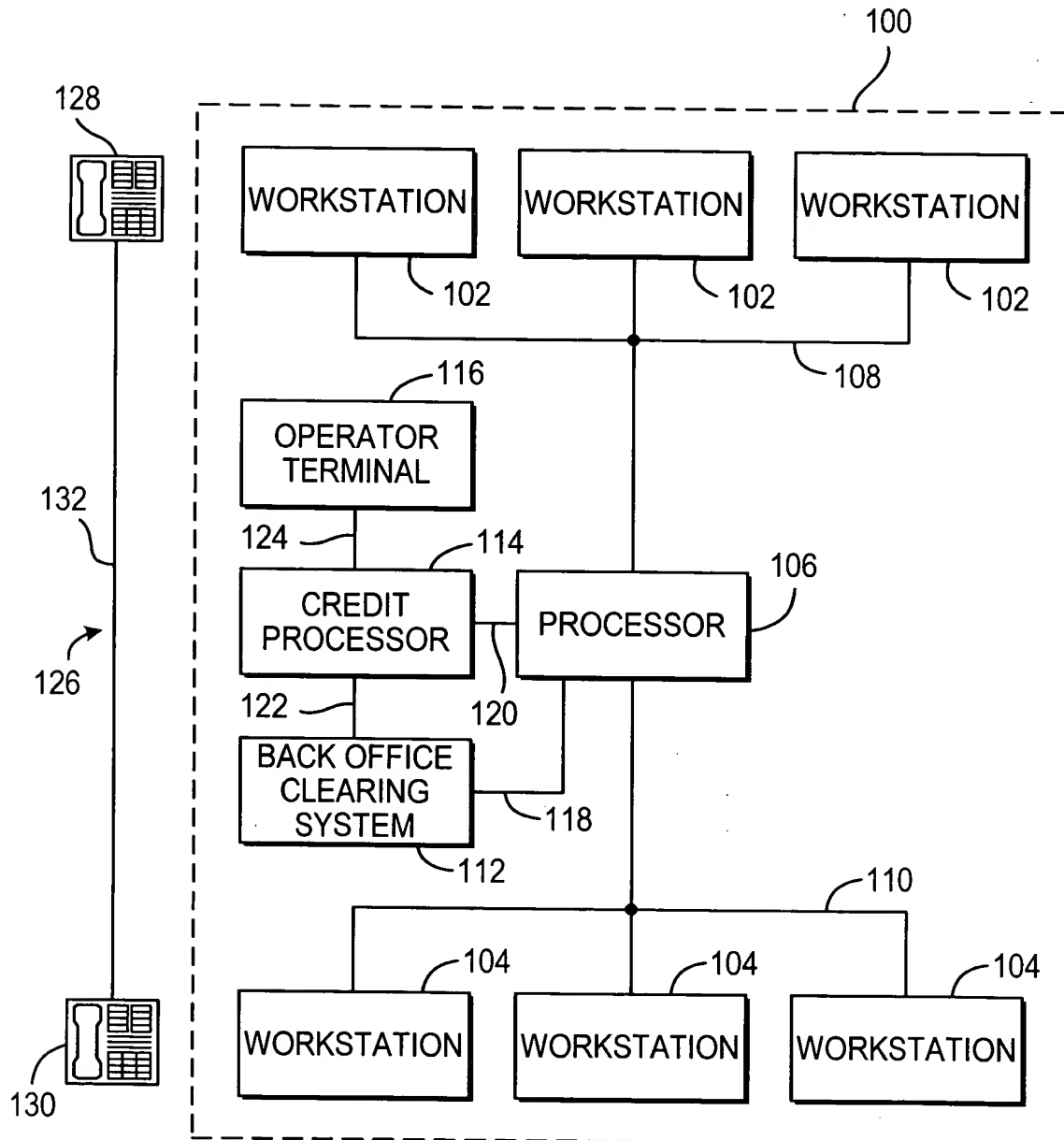
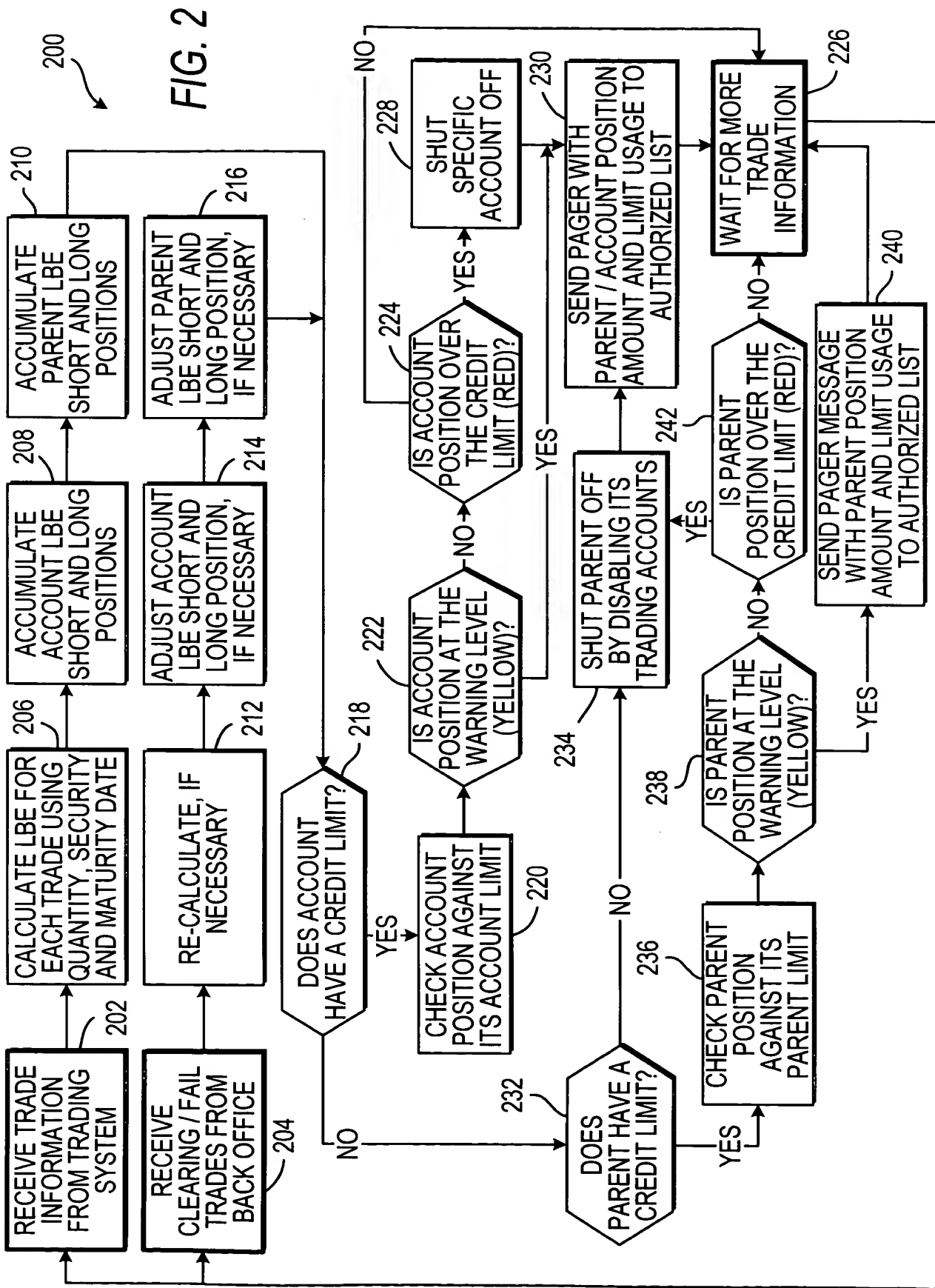


FIG. 1

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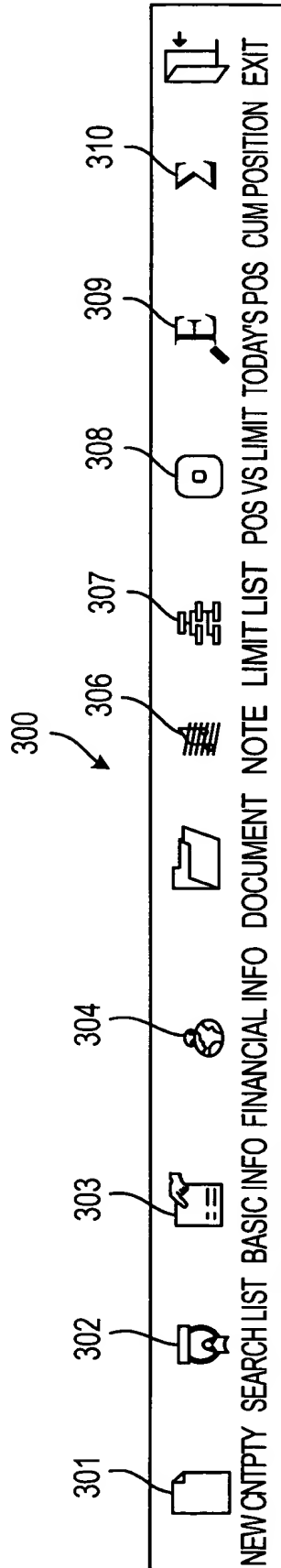


FIG. 3

FILED: 16555460

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EDIT BASIC INFORMATION FOR COUNTERPARTY

BASIC INFORMATION

COUNTERPARTY ID: 1788 CREDIT STATUS: FROZEN

COUNTERPARTY NAME: REPUBLIC TRADING

SHORT NAME: RETRADE

DATE FORMED: 010/00/0000 RPT CNTRY CDE: TOGO

TAX NBR: 123 456 7890 NBR BRANCHES: 9

TYPE: OPARENT LEGAL ENTITY

PARENT NAME: REPUBLIC HOLDINGS

DATE MODIFIED: 08/12/1999 17:01:11 USER MODIFIED: JONES

ADDRESS INFORMATION

TYPE: CREDIT MAILING

ADDR STREET1: 1 MAIN STREET

ADDR STREET2: SUITE 100

CITY: NEW YORK

STATE: NY POSTAL CODE: 10001

COUNTRY: UNITED STATES

GEO REGION: NORTH AMERICA

CONTACT INFORMATION

NAME: JOHN SMITH DEPT: ACCOUNTING

PHONE: 555 - 1234 TITLE: VP

PARENT INFORMATION

PARENT ID: 1661 CLASSIFICATION: HOLDINGS COMPANY

PARENT NAME: REPUBLIC HOLDINGS

STATE: ITALY COUNTRY: ITALY

GEO REGION: EUROPE

DESCRIPTOR INFORMATION

CLASSIFICATION PRIMARY DEALER

LINK TO: CONTACT ADDRESS DESCRIPTOR

SAVE

CLOSE

FIG. 4

5/21

500

COUNTERPARTY CONTACT INFORMATION

502

REPUBLIC TRADING 518

CONTACT INFORMATION 520

FIRST NAME: JOHN 522

MIDDLE INITIAL: 504

CONTACT ID: 76

LAST NAME: SMITH

USER MODIFIED: VCOUGHLI

GENDER: M OF 506

DATE MODIFIED: 12/22/1999 16:05:22

DEPT: ACCOUNTING 510

TITLE: VP 512

POSITION: CREDIT MANAGER 516

PHONE: 212 555-1234 514

524

SAVE

526

DELETE

528

CLOSE

FIG. 5

6/21

600

EDIT DESCRIPTORS FOR COUNTERPARTY: REPUBLIC TRADING

602

SELECT DESCRIPTOR FOR CORRESPONDING DESCRIPTOR TYPE

604

CLASSIFICATION
TRADING PHILOSOPHY
STRUCTURE OF FIRM
MAIN PRODUCT
MEMBERSHIP

608

LIST OF CURRENT DESCRIPTORS

DESCRIPTOR INFORMATION

CLASSIFICATION
MEMBERSHIP

610

612

ROW MANIPULATION

REMOVE
CLEAR

614

616

SAVE
CLOSE

FIG. 6

7/21

700

SELECT COUNTERPARTY

VIEW OPTIONS

☒ COUNTERPARTY LIST

☐ PARENT TREEVIEW

ID	COUNTERPARTY NAME	CLASSIFICATION	CREDIT STATUS	STATE	CNTRY	GEO. REGION	TYPE	RPT COUNTRY	PARENT NAME
1788	REPUBLIC TRADING	PRIMARY DEALER	FROZEN	NY	UNITED STATES	NORTH AMERICA	LE	TOGO	REPUBLIC HOLDING
1791	READY TRADE	PRIMARY DEALER	OPEN	NY	UNITED STATES	NORTH AMERICA	LE	READY ENTERPRISES	
845	RESEARCH FINANCIAL	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	NORTH AMERICA	LE		
836	REPOS UNLIMITED	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	NORTH AMERICA	P		

ROW COUNT 20

ROW MANIPULATION

RETRIEVE CLEAR

SELECT CLOSE

FIG. 7

800

802

804

806

808

810

812

814

816

818

820

822

FIG. 8

SELECT COUNTERPARTY

VIEW OPTIONS

COUNTERPARTY LIST

PARENT TREEVIEW

PARENT TREEVIEW LIST

1661 REPUBLIC HOLDINGS

1665 READY ENTERPRISES

1791 READY TRADE

845 RESEARCH FINANCIAL

836 REPOS UNLIMITED

LEGAL ENTITY LIST

ADDITIONAL INFORMATION

COUNTERPARTY INFORMATION

COUNTERPARTY ID: 845 CLASSIFICATION: UNCLASSIFIED

COUNTERPARTY NAME: RESEARCH FINANCIAL

STATE: NY COUNTRY: UNITED STATES

GEO. REGION: NORTH AMERICA

LAST FINANCIAL STATEMENT

STATEMENT ID: 65 DATE: 12/22/1999 STATUS: AUDITED

PARENT INFORMATION

PARENT ID: CLASSIFICATION:

PARENT NAME:

STATE: COUNTRY:

GEO. REGION:

SELECT

CLOSE

900

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FINANCIAL STATEMENTS

REPUBLIC TRADING

STATEMENT LIST

ID	DT	STMNT	STMNT STATUS	CURRENCY	ID	USER	DT MODIFIED
65	12/22/1999	AUDITED	USD	VCOUGHLI	12/22/1999	16:10:30	

STATEMENT DETAIL

STATEMENT ID: 65 STMNT DT: 12/22/1999

DT MODIFIED: 12/22/1999 16:10:30 STATUS: AUDITED

USER ID: VCOUGHLI CURRENCY: USD

CASH/CASH EQUIVALENTS	66,000
SECURITIES OWNED	88,000
SECURITIES BORROWED	77,000
REVERSE REPOS	55,666
RECEIVABLE FROM B/D	76,576
FAILED TO DELIVER	999
RECEIVABLE - OTHER	6,777
REPO	9,999
SECURITIES LOANED	8,888
BANK LOANS	7,777
PAYABLE TO B/D	7,654
PAYABLE TO CLEARING AGENT	33
LESS TREASURY STOCK	555
	666

SHOW ALL

CREATE ACC STMNT

MODIFY ACC STMNT ORDER

908

910

912

914

916

FIG. 9

1000

MODIFY FINANCIAL STATEMENT

REPUBLIC TRADING

CURRENT STMTNT: 65 STATUS: AUDITED

STMNT DT: 12/22/1999 CRNCY: USD

CASH/CASH EQUIVALENTS	66,000
SECURITIES OWNED	88,000
SECURITIES BORROWED	77,000
REVERSE REPOS	55,666
RECEIVABLE FROM B/D	76,576
RECEIVABLE FROM CUSTOMER	
FAILED TO DELIVER	999
RECEIVABLE - OTHER	6,777
OTHER	
TOTAL ASSETS	371,018

SAVE CLOSE

1002 1004

11/21

FIG. 11

1100

NOTE INFORMATION

REPUBLIC TRADING

NOTE TYPE LIST		
NOTE ID	USER MODIFIED	DATE MODIFIED
#21	JONES	12/10/1999 13:58:34

1110

1106

NOTE

1108

1104

1112

SHOW ALL

DELETE TYPE

1114

CREATE NEW TYPE

1118

SAVE

1120

DELETE

1122

NEW

1124

REFRESH

1126

CLOSE

12/21

1202 COUNTERPARTY LIMIT LIST 1208 1210 1200

1212 SUBCATEGORY LIST 1206

US TREASURY
CX FUTURES
EMERGING MARKETS
INTERNATIONAL DEBT CF INTERNATIONAL

US DEBT MARKETS
US DEBT MARKETS
CF INTERNATIONAL

OPTIONS
☒ SELECT ALL
☐ UNSELECT ALL

RETRIEVE 1214 1216

NAME SEARCH: CNTPTY W/O LIMIT

1204 LIMIT: COUNTERPARTY LEVEL DATE: 12/22/1999 16:20:23 PAGE 83 OF 151

CNTPT	NAME	SUBCATEGORY	LIMIT	ACC LIMIT	LBE NET LIMIT	LBE GROSS LIMIT	PRIN NET LIMIT	PRIN GROSS LIMIT
845	RESEARCH FINANCIAL	US TREASURY	PRESUMED STLM	<input type="checkbox"/>	1,000,000	5,000,000		
845	RESEARCH FINANCIAL	CX FUTURES	PRESUMED STLM	<input type="checkbox"/>	1,000,000	5,000,000		

1218 ROW COUNT 20 1220

1222 ☐ UPDATE MODE 1224 1226 1228 1230

FIG. 12

13/21

1304

1300

1306

ACCOUNT LIMIT LIST

REPUBLIC TRADING CNTRPTY LVL LIMIT FOR US TREASURY

4 ACCOUNT(S) WITHOUT ACCOUNT LEVEL LIMIT: CNTRPTY LEVEL LIMIT IS APPLIED

EXPORT PRINT

BE ID ID BROKER ACTIVE

ACCT# ACCOUNT NAME

31037 REPUBLIC TRADING U559 KH

31036 REPUBLIC TRADING G123 KH

31035 REPUBLIC TRADING G122 KH

31034 REPUBLIC TRADING G121 KH

LBE NET: 9,000,000 MTM NET: 0 CURRENT LIMIT TYP: PRESUMED STLM

LBE GROSS: 6,000,000 MTM GROSS: 0 NEW LIMIT TYP: PRESUMED STLM

VAR NET: 0 PRINL NET: 0 INIT WARNING%: 70 INTRVL% 10

VAR GROSS: 0 PRINL GROSS: 0 USER MODIFIED:

CURRENCY: USD IND LIQUID: SHUT OFF: DATE MODIFIED: 08/06/1999 13:02

1302

ACCOUNT NAME

REPUBLIC TRADING (BOB)

REPUBLIC TRADING (MIKE)

ACCOUNT

1789

1790

ACTIVE

SHUTOFF

LBE NET LIMIT

1,000,000

1,000,000

LBE GROSS LIMIT

2,000,000

2,000,000

PRIN NET LIMIT

0

0

PRIN GROSS LIMIT

0

0

MTM NET LIMIT

0

0

MTM GROSS LIMIT

0

0

1308

ROW COUNT 2

UPDATE MODE

SAVE

MODIFY

NEW

REFRESH

PRINT

EXPORT

CLOSE

1310

1311

1312

1314

1316

1318

1320

FIG. 13

14/21

FIG. 14

ENTER LIMIT

LIMIT SUBCATEGORY: US TREASURY

CURRENT LIMIT TYPE: PRESUMED STLM

PRESUMED STLM

LBE NET LIMIT: 30,000,000 MAX

LBE GROSS LIMIT: 60,000,000 MAX

VAR GROSS LIMIT: 0 MAX

VAR NET LIMIT: 0 MAX

MTM GROSS LIMIT: 0 MAX

MTM NET LIMIT: 1,000,000 MAX

PRINCIPAL GROSS LIMIT: 0 MAX

PRINCIPAL NET LIMIT: 0 MAX

ID CURRENCY: USD

INTAL WARNING LEVEL: 70%

WARNING INTERVAL: 10%

IND LIQUIDATE: YES NO

IND SHUT OFF: YES NO

USER MODIFIED: ADELATOR

DATE MODIFIED: 08/10/1999 16:20:17

SAVE CLOSE

15/21

1504
1506 1510 1508
1500
1512
1514

POSITION VS LIMIT

LIMIT CATEGORY

US DEBT MARKETS

LIMIT SUBCAT

US TREASURY
CX FUTURES

OPTIONS

SELECT ALL
UNSELECT ALL

REFRESH

MANUAL REFRESH
AUTO EVERY 30 SEC

POSITION VS LIMIT

DATE 12/09/1999 14:04:07

PAGE 1 OF 1

CNTRPTY	NAME	LIMIT TYPE	NEW LIMIT TYPE	LIMIT SUBCAT	SHUT OFF	% INIT	QTY	LBE NET POSITION	LBE NET LIMIT	% LBE NET
1788	REPUBLIC TRADING	PRESUM STLMT	PRESUM STLMT	CX FUTURES	<input type="checkbox"/>	70	400,000,000	40,000,000	200,000,000	20.00

ROW COUNT 1

ACCOUNT TRANSACTION PRINT CLOSE

1502
1516
1518
1520

FIG. 15

16/21

POSITION VS LIMIT ACCOUNT DETAIL

READY TRADE

ACCOUNT LEVEL POSITION VS. LIMIT FOR CX FUTURES DATE: 12/22/1999 16:38:41 PAGE 1 OF 1

ACCOUNT #	ACCOUNT NAME	ACTIVE	SHUT OFF	%INIT	QUANTITY	LBE NET POSITION	LBE NET LIMIT	%LBE NET	LBE GROSS POSITION	LBE GROSS LIMIT
TOTAL:					101	-7,795,276			7,952,756	
9589	ELECTRONIC 9589	<input checked="" type="checkbox"/>	<input type="checkbox"/>		50	-3,937,008		0.00	3,937,008	
9587	ELECTRONIC 9587	<input checked="" type="checkbox"/>	<input type="checkbox"/>		51	-3,858,268		0.00	4,015,748	

4

ROW COUNT 2

PRINTEXPORTCLOSE

1604

FIG. 16

17/21

1700

1704

POSITION VS LIMIT

READY TRADE

CX FUTURES: LIMIT VS POSITION TRANSACTIONS DATE: 12/22/1999 16:37:19 PAGE 1 OF 1

ACCOUNT ID	ID SECURITY	NM SECURITY	QUANTITY	LBE	PRINCIPAL	PRICE	MTM/VAR	TRADE ID	ORCTR ROOM	TR BUY/SELL	STAT	FAIL
TOTAL:			101	-7,795,276	10,000							
9587	8 199906		25	-1,968,504	2,475	99.0000		1999101401169200002	2	SE	HD	ELB
9587	8 199906		25	-1,968,504	2,475	99.0000		1999101401169300002	2	SE	HD	ELB
9589	8 199906		25	-1,968,504	2,475	99.0000		1999101401169400002	2	SE	HD	ELB
9589	8 199906		25	-1,968,504	2,475	99.0000		1999101401169500002	2	SE	HD	ELB
9587	8 199906		1	78,740	100	100.3438		1999101401169000001	2	BU	HD	ELB

ROW COUNT 5

PRINTEXPORTCLOSE

1706

FIG. 17

1702

18/21

1804
1800

SELECT LIMIT CAT

SUBCAT LIST

OPTIONS
☒ SELECT ALL
☐ UNSELECT ALL

REFRESH
☒ AUTOMATIC EVERY 30
☐ MANUAL

TODAY'S POSITION DATE: 12/22/1999 16:44:21 PAGE 1 OF 18

ID	COUNTERPARTY NAME	LIMIT	SUBCATEGORY	QUANTITY	LBE NET POSITION	LBE GROSS POSITION	LBE LONG POS	LBE SHORT POS	VAR NET POSITION
TOTAL:				35,452	0	2,984,722,799	1,492,361,400	1,492,361,400	0
1784	READY TRADE		CX FUTURES	101	-7,795,276	7,952,756	78,740	7,874,016	0

ROW COUNT

1806
1810

FIG. 18

19/21

TODAY'S ACCOUNT POSITION

READY TRADE

TODAY'S ACCOUNT POSITION FOR CX FUTURES DATE: 12/22/1999 16:45:24 PAGE 1 OF 1

ACCT#	ACCOUNT NAME	ACTIVE	QTY	LBE NET	LBE GROSS	LONG POS	SHORT POS	MTM NET
TOTAL:			101	-7,795,276	7,952,756	78,740	7,874,016	
9587	ELECTRONIC 9587	<input checked="" type="checkbox"/>	51	-3,858,268	4,015,748	78,740	3,937,008	
9589	ELECTRONIC 9589	<input checked="" type="checkbox"/>	50	-3,937,008	3,937,008	0	3,937,008	

ROW COUNT 2

PRINT EXPORT CLOSE

1900

FIG. 19

1902

20/21

2004
2006
2000

CUMULATIVE POSITION

LIMIT CATEGORY
 US DEBT MARKETS

LIMIT SUBCATEGORY
 US TREASURY
 CX FUTURES

OPTIONS
☒ SELECT ALL
☐ UNSELECT ALL

RETRIEVE

REFRESH
☒ AUTOMATIC EVERY 30 GO
☐ MANUAL

ID	COUNTERPARTY NAME	LIMIT SUBCATEGORY	QUANTITY	LBE NET POSITION	LBE GROSS POSITION	LBE LONG POS	LBE SHORT POS	VAR NET POSITION
TOTAL:			3,802,635,452	181,028,943	5,632,923,827	2,906,976,385	2,725,947,442	0
606	READY TRADE	US TREASURY	45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	0

ROW COUNT 20

ACCOUNT

TRANSACTION

PRINT

CLOSE

2002
2008
2010

FIG. 20

21/21

CUMULATIVE ACCOUNT POSITION

READY TRADE

CUMULATIVE ACCOUNT POSITION FOR US TREASURY DATE: 12/22/1999 16:48:09 PAGE 1 OF 1

ACCT#	ACCOUNT NAME	ACTIVE	QTY	LBE NET	LBE GROSS	LONG POS	SHORT POS	MTM NET
TOTAL:			45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	
9991	BOB	<input checked="" type="checkbox"/>	15,000,000	-1,562,500	7,812,500	3,125,000	4,687,500	
1031	MIKE	<input checked="" type="checkbox"/>	30,000,000	0	15,625,000	7,812,500	7,812,500	

ROW COUNT 2

PRINTEXPORTCLOSE

2104

FIG. 21

2102